



DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: ANISOTROPIC THERMAL APPLICATIONS OF COMPOSITES OF CERAMICS AND CARBON NANOTUBES the specification of which ____ is attached hereto or X was filed on June 26, 2003 as Application No. 10/606,941 and was amended on _____ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date

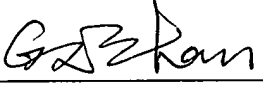
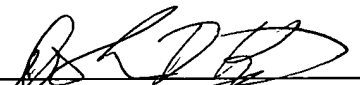
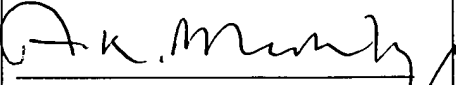
I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status

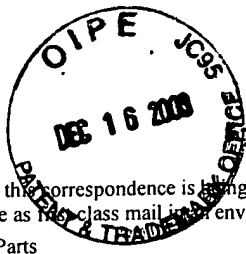
Full Name of Inventor 1:	Last Name: ZHAN	First Name: GUODONG	Middle Name or Initial:	
Residence & Citizenship:	City: Davis	State/Foreign Country: California	Country of Citizenship: Peoples Republic of China	
Post Office Address:	Post Office Address: 1615 East Eighth Street, Apartment 7	City: Davis	State/Country: California	Postal Code: 95616
Full Name of Inventor 2:	Last Name: KUNTZ	First Name: JOSHUA	Middle Name or Initial: D.	
Residence & Citizenship:	City: Lafayette	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 1045 Second Street, Apartment 30	City: Lafayette	State/Country: California	Postal Code: 94549

Full Name of Inventor 3:	Last Name: MUKHERJEE	First Name: AMIYA	Middle Name or Initial: K.	
Residence & Citizenship:	City: Davis	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 1123 Purdue Drive	City: Davis	State/Country: California	Postal Code: 95616

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  Guodong Zhan Date <u>10/30/03</u>	Signature of Inventor 2  Joshua D. Kuntz Date <u>10/30/03</u>	Signature of Inventor 3  Amiya K. Mukherjee Date <u>10/30/03</u>
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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

PATENT
Attorney Docket No.: 02307Z-
137500US
UC Case No. 2003-465-1

on

12/12/03

TOWNSEND and TOWNSEND and CREW LLP

By

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Guodong Zhan et al.

Application No.: 10/606,941

Filed: June 26, 2003

For: ANISOTROPIC THERMAL
APPLICATIONS OF COMPOSITES
OF CERAMICS AND CARBON
NANOTUBES

**POWER OF ATTORNEY BY ASSIGNEE
AND EXCLUSION OF INVENTOR(S) UNDER 37 CFR § 3.71**

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints Kevin L. Bastian, Reg. No. 34,774; M. Henry Heines, Reg. No. 28,219; Laurence J. Hyman, Reg. No. 35,551; Jean M. Lockyer, Reg. No. 44,879; Jeffrey S. Mann, Reg. No. 42,837; Annette S. Parent, Reg. No. 42,058; William M. Smith, Reg. No.

30,223; Joseph R. Snyder, Reg. No. 39,381; Eugenia Garrett-Wackowski, Reg. No. 37,330; Ellen Lauver Weber, Reg. No. 32,762; Kenneth A. Weber, Reg. No. 31,677; all of the firm of Townsend and Townsend and Crew LLP, as its attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with 37 CFR § 3.71.

An assignment of the entire interest in the above-identified subject application:

- ☐ was recorded on _____ at reel/frame
_____/_____.
☒ is being concurrently submitted under separate cover for recording.

Please direct all telephone calls to M. Henry Heines and all correspondence relative to said application to the following address:

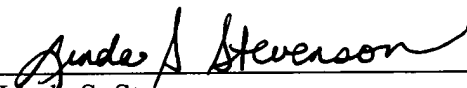
Townsend and Townsend and Crew LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834

ASSIGNEE: THE REGENTS OF THE
UNIVERSITY OF CALIFORNIA

Signature:

Typed Name:

Title:



Linda S. Stevenson

Manager, Patent Prosecution

Office of Technology Transfer
1111 Franklin Street, 5th Floor
Oakland, CA 94607-5200

Dated: November 17, 2003

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Guodong Zhan, Joshua D. Kuntz and Amiya K. MukherjeeApplication No./Patent No.: 10/606,941Filed/Issue Date: June 26, 2003Entitled: ANISOTROPIC THERMAL APPLICATIONS OF COMPOSITES OF CERAMICS AND CARBON NANOTUBESThe Regents of University of California, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To : _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To : _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To : _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

November 17, 2003

Date

(510) 587-6000

Telephone number

Linda S. Stevenson

Typed or printed name

Linda S. Stevenson

Signature

Manager, Patent Prosecution

Title

ASSIGNMENTU.C. Case No. 2003-465-1

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Guodong Zhan 2. Joshua D. Kuntz
 3. Amiya K. Mukherjee 4. _____

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

ANISOTROPIC THERMAL APPLICATIONS OF COMPOSITES OF CERAMICS AND CARBON NANOTUBES

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors
 (b) _____ U.S. patent application filed herewith and listing the above-named persons as inventors
 (c) X U.S. application serial no. 10/606,941, filed on June 26, 2003
 (d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

30 day of October, 200330 day of October, 200330 day of Oct, 2003

____ day of _____, 20____

Signature of Inventor(s)

Guodong Zhan

Guodong Zhan

Joshua D. Kuntz

Joshua D. Kuntz

Amiya K. Mukherjee

Amiya K. Mukherjee

COPY
Not for recordation